



**PATENT**

Case Docket No. CTJPL.008A

Date: December 10, 2003

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants : Graetz, et al.  
Appl. No. : 10/660,382  
Filed : September 10, 2003  
For : HIGH-CAPACITY  
NANOSTRUCTURED  
SILICON AND LITHIUM  
ALLOYS THEREOF  
Examiner : Unknown  
Group Art Unit : Unknown

I hereby certify that this correspondence and all marked attachments are being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on

December 10, 2003

  
(Date)

Pui Tong Ho, Reg. No. 44,155

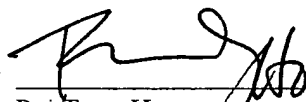
**TRANSMITTAL LETTER**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Enclosed for filing in the above-identified application are:

- (X) An Information Disclosure Statement.
- (X) A PTO Form 1449 with 6 references.
- (X) The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Account No. 11-1410.
- (X) Return prepaid postcard.

  
Pui Tong Ho  
Registration No. 44,155  
Attorney of Record  
Customer No. 20,995  
(949) 760-0404

**INFORMATION DISCLOSURE STATEMENT**

Applicants : Graetz, et al.  
App. No. : 10/660,382  
Filed : September 10, 2003  
For : HIGH-CAPACITY NANOSTRUCTURED  
SILICON AND LITHIUM ALLOYS  
THEREOF  
Examiner : Unknown  
Group Art Unit : Unknown

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Enclosed is form PTO-1449 listing 6 references. Copies of disclosed U.S. patents and/or publications are not included pursuant to PTO waiver of the requirement under 37 C.F.R. § 1.98(a)(2)(i) for applications filed after June 30, 2003. Copies of other references, if listed, are enclosed.

This Information Disclosure Statement is being filed before the receipt of a first Office Action on the merits, and presumably no fee is required in accordance with 37 C.F.R. § 1.97(b)(3). If a first Office Action on the merits was mailed before the mailing date of this Statement, the Commissioner is authorized to charge the fee set forth in 37 C.F.R. § 1.17(p) to Deposit Account No. 11-1410.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: December 10, 2003

By: 

Pui Tong Ho  
Registration No. 44,155  
Attorney of Record  
Customer No. 20,995  
(949) 760-0404

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. CTJPL.008A	APPLICATION NO. 10/660,382
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (USE SEVERAL SHEETS IF NECESSARY)		APPLICANT Graetz, et al.	
		FILING DATE September 10, 2004	GROUP Unknown

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
	1	US 6,334,939 B1	1/1/02	Zhou, et al.	204	409	6/15/00

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)						
	2	K. Sayama, H. Yagi, Y. Kato, S. Matsuta, H. Tarui, and S. Fujitani, Abstract 52, The 11th International Meeting on Lithium Batteries, Monterey, CA, June 23-28, 2002					
	3	T. Takamura, S. Ohara, J. Suzuki, and K. Sekine, Abstract 257, The 11th International Meeting on Lithium Batteries, Monterey, CA, June 23-28, 2002					
	4	A High Capacity Nano-Si Composite Anode Material for Lithium Rechargeable Batteries, Li, et al., Electrochemical and Solid-State Letters, 2 (11) 547-549 (1999)					
	5	Li Insertion/Extraction Reaction at a Si Film Evaporated on a Ni Foil, Ohara, et al., Journal of Power Sources 119-121 (2003) 591-596					
	6	Highly Reversible Lithium Storage in Nanostructured Silicon, Graetz, et al., Electrochemical and Solid-State Letters, 6 (9) A194-A197 (2003)					

H:\DOCS\PTH\PTH-1505.DOC  
121003

EXAMINER	DATE CONSIDERED
<b>*EXAMINER:</b> INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.	